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PTO/SB/21 (modified)

Approved for use through xx/xx/xx, OMB 0651-0031

Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

0001/PTO
Rev. 10/95

U.S. Department of Commerce
Patent and Trademark Office

Application Number

09/675,992

Filing Date

September 29, 2000

First Named Inventor

Walter W. Lee

Confirmation No.

1738

Group Art Unit Number

2166

Examiner Name

Not yet known

Total Number of Pages in This Submission

5**

Attorney Docket Number

13553-05122

TRANSMITTAL FORM

(to be used for all correspondence during pendency of
filed application)

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ENCLOSURES (check all that apply)

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<input checked="" type="checkbox"/> Information Disclosure Statement & PTO-1449 <input checked="" type="checkbox"/> Copies of IDS Cited References	<input type="checkbox"/> Certified Copy of Priority Document(s)
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REMARKS: ** IDS references are not included in the total pages submitted

SIGNATURE OF ATTORNEY OR AGENT

Signature:

Attorney/Reg. No.:

Daniel R. Brownstone, Registration No. 46,581

Dated:

5 March 2002

CERTIFICATE OF MAILING

I hereby certify that this correspondence, including the enclosures identified above, is being deposited with the United States Postal Service as first class mail in an envelope addressed to: BOX NON-FEE AMENDMENT, Commissioner for Patents, Washington, D.C. 20231 on the date shown below

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Dated:

5 March 2002

13553-05122/SF/5070150.1



IN THE UNITED STATES
PATENT AND TRADEMARK OFFICE

APPLICANT(S): Walter W. Lee et al.
APPLICATION NO.: 09/675,992
FILING DATE: September 29, 2000
TITLE: Score Based Decisioning
CONFIRMATION NO: 1738
EXAMINER: Not yet known
GROUP ART UNIT: 2166
ATTY. DKT. NO.: 13553-05122

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By: 
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WASHINGTON, DC. 20231

INFORMATION DISCLOSURE STATEMENT
Under 37 CFR §§ 1.56 and 1.97-98

SIR:

Pursuant to the provisions of 37 CFR §§ 1.56 and 1.97-98, enclosed herewith is modified form PTO-1449 listing references for consideration by the Examiner. A copy is enclosed herewith of each listed reference which may be material to the examination of this application, and with respect to which there may be a duty to disclose.

The filing of this Information Disclosure Statement shall not be construed as a representation regarding the completeness of the list of references, or that inclusion of a reference in this list is an admission that it is prior art or is pertinent to this application, or that a search has been made, or as an admission that the information listed is, or may be considered to be, material to patentability, or that no other material information exists, and shall not be construed as an admission against interest in any manner.

The Information Disclosure Statement submitted herewith is being filed before the mailing date of a first office action on the merits.

Applicant submits that no fee is required for the consideration of the accompanying Information Disclosure Statement.

Consideration of the listed references and favorable action are solicited.

Respectfully submitted,
WALTER W. LEE, DANIEL SHOHAM, WESLEY
K. WILHELM, JOSEPH P. MILANA, AND ALAN
P. JOST

Dated: 5 March 2002

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Sheet 1 of 2

FORM PTO-1449 (REV. 6-89) U.S. DEPARTMENT OF COMMERCE Patent and Trademark Office				Attorney's Docket No. 13553-05122	Application No. 09/675,992
INFORMATION DISCLOSURE CITATION				Applicants Walter W. Lee et al.	
(Use several sheets if necessary)				Filing Date September 29, 2000	Group Art Unit 2166

U.S. PATENT DOCUMENTS

Examiner Initial		Document Number	Date	Name	Class	Subclass	Filing Date If Appropriate
	A1	5,025,372	06/18/91	Burton et al.	364	406	
	A2	5,146,067	09/08/92	Sloan et al.	235	381	
	A3	5,398,300	03/14/95	Levey	395	22	
	A4	5,819,226	10/06/98	Gopinathan et al.	705		
	A5	5,982,891	11/09/99	Ginter et al.	380		
	A6	6,029,195	02/22/00	Herz	709	219	
	A7	6,070,141	05/30/00	Houvener et al.	705	1	
	A8	6,330,546	12/11/01	Gopinathan et al.	705	35	

FOREIGN PATENT DOCUMENTS

		Document Number	Date	Country	Class	Subclass	Translation	
							Yes	No
	B1	1,252,566	04/11/89	Canada	G06F	15/21		
	B2	2,032,126	08/01/91	Canada	G06F	15/18		
	B3	2,052,033	01/19/99	Canada	G07F	19/00		
	B4	0 418 144 A1	03/20/91	EPO	G06F	7/08		
	B5	0 421 808 A3	04/10/91	EPO	G07F	7/10		

OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)

C1	Hecht-Nielsen, R., Theory of the Backpropagation Neural Network , <i>Neural Networks for Perception</i> , pp. 65-93 (1992).
C2	Functional Specifications Document of the SLIGOS Fraud Detection System (FDS) Using the Nestor Decision Learning System, <i>Nestor Financial Services</i> , October 12, 1990.
C3	Fraud Detection System (FDS) User's Guide, Release 1.3 Nestor, Inc. pp. n-034-n-056
C4	SLIGOS Fraud-Detection Study Features for Modelling, Nestor, Inc., pp.n-1512 - n-1535 (1990).
C5	Rumelhart, D.E., et al., Learning Representations by Back-Propagating Errors, <i>Nature</i> v. 323, pp. 533-536 (1986).
C6	Weigend, A.S., et al., Generalization by Weight-Elimination with Application to Forecasting, <i>Advances in Neural Information Processing Systems 3</i> , pp. 875-882.

EXAMINER	DATE CONSIDERED

EXAMINER: Initial if references considered, whether or not citation is in conformance with MPEP § 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.



Sheet 2 of 2

FORM PTO-1449 (REV. 6-89)		U.S. DEPARTMENT OF COMMERCE Patent and Trademark Office		Attorney's Docket No. 13553-05122	Application No. 09/675,992		
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U.S. PATENT DOCUMENTS							
Examiner Initial		Document Number	Date	Name	Class	Subclass	Filing Date If Appropriate
FOREIGN PATENT DOCUMENTS							
		Document Number	Date	Country	Class	Subclass	Translation
							Yes <input type="checkbox"/> No <input type="checkbox"/>
	B6	A 62-75768	04/07/87	Japan	G06F	15/30	No
	B7	A 63-184870	07/30/88	Japan	G06F	15/30	No
	B8	A 4-113220	04/14/92	Japan	G01D	3/00	No
	B9	A 4-220758	08/11/92	Japan	G06F	15/18	No
	B10	WO 89/06398	07/13/89	WIPO	G06F	15/30	No
OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)							
C7	Copy of International Search Report for PCT/US01/30193						
EXAMINER			DATE CONSIDERED MAR 14 2002 JC 1700				
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PTO-1449
REV: 12/96

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